

Interview Summary	Application No.	Applicant(s)	
	09/801,583	KEITH, CHRISTOPHER	
	Examiner	Art Unit	
	Jennifer Liversedge	3692	

All participants (applicant, applicant's representative, PTO personnel):

(1) Jennifer Liversedge. (3) _____.

(2) Kevan Morgan. (4) _____.

Date of Interview: 30 August 2007.

Type: a) ☐ Telephonic b) ☐ Video Conference
c) ☒ Personal [copy given to: 1) ☐ applicant 2) ☒ applicant's representative]

Exhibit shown or demonstration conducted: d) ☐ Yes e) ☒ No.
If Yes, brief description: _____.

Claim(s) discussed: 1.

Identification of prior art discussed: Lupien.

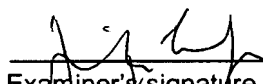
Agreement with respect to the claims f) ☐ was reached. g) ☒ was not reached. h) ☐ N/A.

Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet.

(A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.)

THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.


Examiner's signature, if required

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: Primary discussion around the Lupien reference. Applicant argues that Lupien does not disclose holding orders before submitting them to the market but rather that orders are held at the market. Examiner will review the Lupien reference closely on this point. Applicant argues this point as holding before sending to the market prevents market participants from knowing full market depth, the orders are undiscoverable. Applicant further argues that conditions are associated with the holding tank for release, ie. release is not time-dependent nor individual order dependent but rather based on a condition such as market conditions. Examiner has stated that features of the claimed invention may be obvious over prior art, ie. that orders may be held for some period of time at a broker house or a broker prior to being submitted to the market. Further, the claimed invention may automate known systems and methods and therefore obviousness becomes a factor in potential future rejections. Applicant will submit an amendment/RCE and examiner will review amendments to claims upon receipt..